

Application Transmittal
PATENT

**UTILITY PATENT
APPLICATION
TRANSMITTAL**

*(Only for new nonprovisional
applications under 37 CFR 1.53(b))*

Attorney Docket No. 004344-294NP
First Named Inventor Ronald Rudkin
Express Mail Label No. EL 889409847 US
Total Pages 3



BY EXPRESS MAIL – Label No. EL 889409847 US

Mail Stop Patent Application
Commissioner for Patents
Alexandria, VA 22313-1450

Sir:

Enclosed herewith for filing is a patent application of Ronald Rudkin entitled "SYSTEM AND METHOD FOR DETERMINING THE VALUE AND OPTIMAL EXERCISE OF EMPLOYEE STOCK OPTIONS" which includes:

☒ Specification [29] Total Pages
☒ Claims [2] Total Pages
☒ Abstract [1] Total Pages
☒ Drawing(s) [3] Total Sheets
 formal
 ☒ informal

☐ Combined Declaration and Power of Attorney Total Pages
 ☐ Newly executed (original or copy)
 ☐ Copy from a prior application (for continuation/divisional only – **must be filed to avoid surcharge for late filing**)

If a continuing application, check appropriate box:

☐ Continuation ☐ Divisional
☐ Continuation-In-Part of prior application No.

☐ Amend the specification by inserting, before the first line, the following sentence:
"This is a ☐ continuation ☐ divisional ☐ continuation-in-part of copending
application Serial No. filed ."

☐ An Assignment of the invention to
 ☐ is attached. A separate cover sheet in compliance with 37 CFR 3.28 and 3.11 is included.
 ☐ will follow.
 ☐ has been filed in the prior application

☒ Small Entity Status is hereby claimed

☐ Information Disclosure Statement (IDS) PTO-1449

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Attorney Docket No. 004344-294NP

☐ Copies of IDS Citations

☐ Request and Certification for Non-publication under 35 U.S.C. 122(b)(2)(B)(i) **ENCLOSED.**

☐ Request to Rescind previous Non-publication Request under 35 U.S.C. 122(b)(2)(B)(ii) **ENCLOSED.**

☐ Request for Redacted Publication under 35 U.S.C. 122(b)(2)(B)(v) and the Redacted Publication **ENCLOSED.**

☐ Request for Early Publication under 35 U.S.C. 122(b)(1)(A) **ENCLOSED.**

☐ Preliminary Amendment

☒ Return Receipt Postcard

☒ Other: Certificate of Express Mailing

☐ Cancel in this application original claims of the prior application before calculating the filing fee.

The Fee has been calculated as shown below:

FOR	(Col. 1) No. Filed					(Col. 2) No. Extra			Small Entity		OR	Other than a small entity			
									Rate	Fee		Rate	Fee		
Basic Fee									375.00		750.00				
Total Claims	1	-	20	=	0	X	9	=	.00	X	18	=	.00		
Ind. Claims	1	-	3	=	0	X	42	=	.00	X	84	=	.00		
Multiple Dependent Claim						+	140	=	.00	+	280	=	.00		
TOTAL									375.00				0.00		

* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

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Fee payment being made:

<input type="checkbox"/> Enclosed		<input checked="" type="checkbox"/> Charge to Deposit Account No. 06-0923	
	<input checked="" type="checkbox"/> Filing Fee	\$	375.00
	<input type="checkbox"/> Recording Assignment : 37 CFR 1.21(h)	\$.00
	<input type="checkbox"/> Publication Fees	\$	0.00
	Total Fees:		375.00
<input type="checkbox"/> A check in the amount of \$0.00 to cover filing fee and assignment recordation fee is enclosed.			

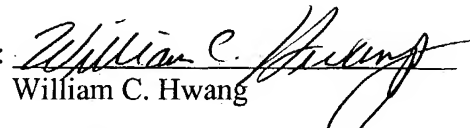
Priority

- ☐ Priority of application Country , Appln. No. , filed
- ☐ Certified Copy of Priority Document Country , Appln. No. , filed
s
☐ is/are attached ☐ will follow ☐ has been filed in the parent application S/N
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16, 1.17 and 1.21(h) associated with this communication or credit any overpayment to Deposit Account No. 06-0923. Two copies of this sheet are enclosed.

Dated: June 20, 2003

GOODWIN PROCTER LLP
599 Lexington Avenue
New York, NY 10022

BY:


William C. Hwang

Enclosures

PTO Registration No.: 36,169

Country: US
Application No.: TBA
Filing Date: June 20, 2003
Inventor: Ronald Rudkin
Title: SYSTEM AND METHOD FOR DETERMINING THE VALUE AND
OPTIMAL EXERCISE OF EMPLOYEE STOCK OPTIONS
Atty Docket No.: 004344-294-NP

CERTIFICATE OF "EXPRESS MAILING"

"EXPRESS MAIL" Mailing Label Number: EL 889409847 US

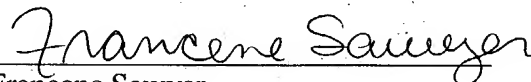
Deposited: June 20, 2003

I hereby certify that this and the enclosed paper(s) and/or fee(s) is/are being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Submitted herewith are the following items:

1. Utility Patent Application Transmittal in duplicate (6 pages);
2. Application of Ronald Rudkin (35 pages);
3. This Certificate of Express Mailing bearing the Express Mailing Label No. and deposit date stated above (1 page); and
4. Return Receipt Postcard.

TOTAL PAGES IN THIS SUBMISSION: 42 + postcard


Francene Sawyer